

# Washington Office of Insurance Commissioner

## Required Filings

for the  
2003 Annual Statement and  
2004 Quarterly Statements

## Health Care Service Contractors and HMOs

Foreign LAH and P&C insurers filing the Health Blank must still follow their respective instructions.

Please read the OIC 2004 Electronic Submission Directive before reading this document.

**If the due date falls on a Saturday, Sunday or legal holiday, the due date becomes the next business day.**

**Electronic Filings:** Include all documents the NAIC Annual Statement Instructions require.

Item	File With		ZIP Filings	Due Date
	OIC	NAIC		
E 1	Yes	Yes	Annual Statement Electronic Filing and March .PDF filing	2/29/2004
E 2	<b>No</b>	Yes	Risk-Based Capital Electronic Filing	2/29/2004
E 3	Foreign <b>No</b> Domestic Yes	<b>No</b>	Risk-Based Capital .PDF Filing	2/29/2004
E 4	Yes	<b>No</b>	RCW 48.43.045(2) Report .PDF filing	2/29/2004
E 5	Foreign <b>No</b> Domestic Yes	<b>No</b>	Supplemental Compensation Exhibit .PDF Filing	2/29/2004
E 6	Yes	<b>No</b>	Additional Data to Annual Statement .PDF Filing (Form IC-13A-HC/IC-14-HMO)	2/29/2004
E 7	Yes	Yes	Supplemental Electronic Filing and .PDF filing	4/1/2004
E 8	Foreign <b>No</b> Domestic Yes	Yes	Quarterly Statement Electronic Filing and .PDF filing	5/15, 8/14, 11/14/2004
E 9	Yes	Yes	June .PDF Filing (audited financial statements)	6/1/2004
E 10	Yes	<b>No</b>	Accountants Letter of Qualifications .PDF Filing	6/1/2004
E 11	Yes	<b>No</b>	Report of Significant Deficiencies in Internal Controls .PDF Filing	6/1/2004

### Paper Filings:

Item	File With		Filing	Due Date
	OIC	NAIC		
P 1	Yes	<b>No</b>	Company's Designation of 2003 Independent CPA	12/31/2003
P 2	Yes	<b>No</b>	Accountant's Awareness letter	12/31/2003
P 3	<b>No</b>	Yes	Annual Statement and all March supplements	2/29/2004
P 4	<b>No</b>	Yes	Risk-Based Capital Report	2/29/2004
P 5	<b>No</b>	Yes	Supplemental Statement (all April supplements)	4/1/2004
P 6	<b>No</b>	Yes	Audited Financial Statements	6/1/2004
P 7	<b>No</b>	Yes	Quarterly Financial Statement and all supplements	5/15, 8/14, 11/14/2004
P 8	Yes	<b>No</b>	Signature pages	same as electronic filing
P 9	Yes	<b>No</b>	WSHIP assessment report	2/29/2004

# Health Care Service Contractors and HMOs

## Notes and Instructions

Washington

**2003 Annual Statement and  
2004 Quarterly Statements**

NOTES AND INSTRUCTIONS (APPLY TO ALL FILINGS)			
A	Questions on filing:		360-725-7200, AnnRptProc@oic.wa.gov
B	Electronic Filing Address:		<b>ftp ftp.oic.wa.gov</b> Same FTP password as 2003.
	Paper Filing Address:	<b>U.S. Mail</b>  <b>Delivery</b>	Attention: Company Supervision Division PO Box 40259, Olympia, WA 98504-0259  Attention: Company Supervision Division 5000 Capitol Boulevard SE, Tumwater, WA 98501
C	Filing Fees:		Included on the Premium Tax form.
D	Premium Tax Payments:		E-Tax contact person: Beverly Dyal 360-725-7032 or BevD@oic.wa.gov
E	Paper Filings:		U.S. Mail: U.S. Postal Service postmark no later than the indicated due date. Delivery Service: Filings must be physically in the possession of the delivery service no later than the indicated due date.
F	Late Filings:		The commissioner may suspend or revoke the certificate of registration.
G	Signatures:		<b>Domestic:</b> Original, except the CPA-supplied documents. <b>Foreign:</b> Reproduction of original signatures or facsimiles allowable.
H	Signature/Notarization/Certification:		<b>Jurat:</b> At least two of the required officers must sign. Notary digital signature also required if using digital signatures on NAIC financial statements.
I	Amended Filings:		Must file—follow the NAIC instructions and SSAP No. 3.
J	Exceptions from normal filings:		<b>All:</b> Written requests required. Address to Dennis Edward Julnes, Chief Financial Analyst. State the cause in sufficient detail. For time extensions, state the date the reporting entity will file. May email to DennisJ@oic.wa.gov or fax to 360-586-2022. <b>Foreign:</b> Must also supply a copy of any exemption or extension approval from the state of domicile.
K	Bar Codes:		NAIC bar codes required on any paper signature pages that have a NAIC document identifier code.
L	NAIC Affidavit of Filing and Financial Statement Attestation:		Not accepted.
M	NONE Filings:		Washington allows consecutive “none” pages on one page.
N	Filings new, discontinued or modified materially since last year:		1. Foreign entities will not file a Risk-Based Capital Report, Supplemental Compensation Exhibit or quarterly financial statement PDFs with the OIC. 2. Optional Jurat Page discontinued.
O	WSHIP Assessment Report		The report will be available on <a href="http://www.insurance.wa.gov">http://www.insurance.wa.gov</a> .

# Health Care Service Contractors and HMOs

## General Instructions

### Washington

### 2003 Annual Statement and 2004 Quarterly Statements

#### Required Electronic Filings:

February 29

The **Annual Statement Electronic Filing** includes the annual statement data and all supplements due March 1, per the *Annual Statement Instructions*. This includes all detail investment schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The **March .PDF Filing** is the .pdf file for annual statement data, detail for investment schedules, state pages and supplements due March 1.

The **RCW 48.43.045(2) Report .PDF Filing** is a .pdf file of this report.

The **Additional Data to Annual Statement .PDF Filing** is a .pdf file of Form IC-13A-HC/IC-14-HMO see the OIC web site.

The **Supplemental Compensation Exhibit PDF Filing** is a .pdf file for the Supplemental Compensation Exhibit. **Only Washington domestics file this.**

The **Risk-Based Capital Electronic Filing** includes all risk-based capital data.

The **Risk-Based Capital .PDF Filing** is a .pdf file for the RBC report. **Only Washington domestics file this.**

April 1

The **Supplemental Electronic Filing** includes all supplements due April 1, per the *Annual Statement Instructions*.

The **Supplement .PDF Filing** is the .pdf file for all supplemental schedules and exhibits due April 1.

May 15, August 14 and November 14

The **Quarterly Electronic Filing** includes the quarterly statement data.

The **Quarterly .PDF Filing** is the .pdf for quarterly statement data.

June 1

The **June .PDF Filing** is the .pdf file for the Audited Financial Statements. **If your domestic regulator exempts your company, you will need to notify us in writing by the due date.**

The **Accountant's Letter of Qualifications .PDF filing** is a .pdf file of the accountant's letter of qualifications.

The **Report of Significant Deficiencies in Internal Controls .PDF filing** is a .pdf file of the report. Insurers must file this report if the accountant issues a report, even if the report says the accountant did not find any deficiencies.

#### Required Paper Filings:

The **Designation of Independent CPA** is a letter from the insurer registering the CPA or accounting firm it designates for the audited financial statements. Insurers must register **every year**.

The **Accountant's Awareness Letter** is a letter from the designated CPA or accounting firm that it is aware of the provisions of the insurance code and the rules and regulations. We require this letter **every year**.

The **Signature Pages** are for companies that do not use legally binding digital signatures on the pages that require signatures. Please see Washington Administrative Code (WAC) 284-07-050(4)(d), WAC 284-07-060(2)(c) and WAC 284-07-100(6).

The **WSHIP Notice of Assessment Report** is a required filing for all member HCSCs and HMOs. Print the report from the OIC web site and mail to the address on the form.